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Oak Ridge Office

memorandum

DATE: May 14, 2012

REPLY TO

ATTN OF: EM-95:Harness

SUBJECT: **ENVIRONMENTAL MANAGEMENT PROCEDURE EM 3.6, REVISION 0,
"ASSESSMENT PROGRAM COMMITTEE" - APPROVED**

TO: Environmental Management Staff, EM-90

Please read and familiarize yourself with the attached Assessment Program Committee Procedure. It will be placed onto the Office of Environmental Management's Policies and Procedures Webpage.

If you have questions please contact Jerry Harness at 576-6008.



Susan M. Cange, Acting Manager
Oak Ridge Office of Environmental Management

Attachment

EM 3.6 Assessment Program Committee

**U.S. Department of Energy
Oak Ridge Office
Office of Environmental Management
Procedure**

**ASSESSMENT PROGRAM COMMITTEE
AND
THE EM INTEGRATED ASSESSMENT SCHEDULE**

**EM – 3.6
Revision 0**

Prepared:


Jerry Harness, Owner

5/14/12

Date:

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TABLE OF CONTENTS

TABLE OF CONTENTS	2
LIST OF ACRONYMS.....	3
1.0 PURPOSE.....	4
2.0 SCOPE	4
3.0 REFERENCES AND DEFINITIONS.....	4
3.1 References	4
3.2 Definitions	4
4.0 ROLES & RESPONSIBILITES	5
4.1 Manager, Oak Ridge Office of Environmental Management (MOEM)	5
4.2 Deputy Manager, Oak Ridge Office of Environmental Management.....	5
4.3 Assessment Program Manager (APM).....	5
4.4 Responsible Manager (RM)	6
5.0 PROCEDURE.....	6
5.1 The EM Assessment Program Committee (APC)	6
5.2 Development and Approval of the EM Integrated Assessment Schedule (IAS)	7
5.3 Maintenance of the EM Integrated Assessment Schedule.....	9
5.4 APC Monitoring of the IAS	11
6.0 RECORDS	11
6.1 Program Records.....	11

LIST OF ACRONYMS

AMS&EM	Assistant Manager for Security and Emergency Management
APC	Assessment Program Committee
APM	Assessment Program Manager
ARS	Assessment Responsible Staff
COS	Chief of Staff
DD	Division Director
DMOEM	Deputy Manager, Oak Ridge Office of Environmental Management
DOE	U. S. Department of Energy
EM	Office of Environmental Management
EMC	Emergency Management Coordinator
EMT	Emergency Management Team
ESH&Q	Environment, Safety, Health and Quality
FY	Fiscal Year
IAS	Integrated Assessment Schedule
MOEM	Manager, Oak Ridge Office of Environmental Manager
OR	Oak Ridge
PFPD	Portfolio Federal Project Director
PM	Program/Project Manager
QA	Quality Assurance
SME	Subject Matter Expert
RM	Responsible Manager

1.0 PURPOSE

The purpose of this procedure is to direct the formation of an Assessment Program Committee (APC) within the Department of Energy (DOE) Oak Ridge (OR) Office of Environmental Management (EM) and to establish its role and responsibilities. A primary function of the APC will be to direct on an annual basis the development and maintenance of the EM Integrated Assessment Schedule (IAS). To perform this function, the APC will:

- Direct the process for preparation of the EM IAS.
- Review and approve the EM IAS.
- Evaluate information obtained from assessments and other oversight activities and reporting systems to adjust the IAS as needed.
- Review and approve proposed changes to the IAS.

2.0 SCOPE

This procedure applies to all OR EM divisions, programs, and projects. It includes the following elements:

- Composition of the APC.
- Roles and responsibilities of APC members.
- Meeting requirements.
- APC development of the EM IAS.
- Continuing APC and other EM organization's responsibilities for management of the EM IAS.

3.0 REFERENCES AND DEFINITIONS

3.1 References

- 3.1.1 DOE O 226.1B, *Implementation of DOE Oversight Policy*
- 3.1.2 DOE O 413.1B, *Management Control Program*
- 3.1.3 DOE O 414.1D, *Quality Assurance*
- 3.1.4 DOE O 425.1D, *Startup and Restart of Nuclear Facilities*
- 3.1.5 EM Procedure EM-2.1, *Startup and Restart of Oak Ridge Reservation Environmental Management Program Work*
- 3.1.6 EM Procedure EM-3.3, *Integrated Assessment Program*
- 3.1.7 Environmental Management Quality Implementation Plan
http://www-internal.oro.doe.gov/dmg/oro_keymanagementdoc.htm

3.2 Definitions

Definitions specific to this procedure are:

- 3.2.1 Assessment: A review, evaluation, inspection, test, check, surveillance, or audit to determine and document whether items, processes, systems, or services meet specified requirements and perform effectively. (DOE Order 414.1D, *Quality Assurance*)
- 3.2.2 Integrated Assessment Schedule: A three year rolling schedule of assessments of EM programs/projects/activities/functions that is updated, at minimum, on an annual basis by the

Assessment Program Committee (APC).

- 3.2.3 Responsible Manager (RM): The EM staff individual having primary responsibility for oversight of an EM facility, operation, activity, program, or functional area and developing an assessment schedule for that area of responsibility. For purposes of this procedure, RMs with their scope of responsibility will be identified by the Manager, Oak Ridge Office of Environmental Management (MOEM). Portfolio Federal Project Directors (PFPDs), Division Directors (DDs), and Project Managers (PM) are the primary population of RMs.
- 3.2.4 Surveillance: A type of informal assessment. Typically, a surveillance is focused on a more narrow area of consideration as compared to a formal assessment and performed using a checklist or focused lines of inquiry rather than a full review plan. A final report may largely consist of the completed checklist. It is usually performed by one or two individuals.

4.0 ROLES AND RESPONSIBILITIES

4.1 Manager, Oak Ridge Office of Environmental Management (MOEM)

- 4.1.1 Appoint the Assessment Program Manager.
- 4.1.2 Identify for the purposes of this procedure the EM management/staff persons who will serve as Responsible Managers and thus be APC members.
- 4.1.3 Approve the annual EM IAS and modifications to the IAS requiring MOEM approval as identified in this procedure.
- 4.1.4 Provide information and guidance to the APC on expectations for the EM Assessment Program.

4.2 Deputy Manager, Oak Ridge Office of Environmental Management

- 4.2.1 Support the MOEM in providing guidance and oversight of the Assessment Program Committee (APC).
- 4.2.2 Review and approve, when appropriate, changes to the planned date of completion for Tier 2 assessments as requested by a Responsible Manager through the Assessment Program Manager.

4.3 Assessment Program Manager (APM)

- 4.3.1 Schedule and lead meetings of the APC.
- 4.3.2 Continually monitor the status of the EM IAS in e-Pegasus and periodically report to the MOEM and the APC on that status. This includes assessment of EM staff implementation of the requirements of this procedure.
- 4.3.3 Cooperate with other assigned staff to develop the scope of trend analyses and to conduct and report on those analyses on a proscribed periodicity in a trend analysis report.
- 4.3.4 Prepare and/or distribute documents/materials for APC consideration; e.g., draft IAS, trend analysis reports, etc.
- 4.3.5 Document APC activities and prepares correspondence resulting from APC actions.
- 4.3.6 Provide assistance as needed to other EM staff in their performance of responsibilities

under this procedure.

- 4.3.7 Prepare training materials/sessions for EM and matrixed support staff as needed to train personnel in their responsibilities for supporting the EM assessment program.

4.4 Responsible Manager (RM)

- 4.4.1 Develop a proposed schedule of assessments for their area of management responsibility for IAS consideration. The proposed schedule should include assessments for areas which are supported by entities outside of EM; e.g., emergency management and technical subject matter expert areas (fire protection, radiation protection, etc.) for which they or members of their staff serve as the EM coordinator.
- 4.4.2 Attend meetings of the APC or designate alternate if unable to attend.
- 4.4.3 Review the draft IAS and assist in resolution of issues.
- 4.4.4 Concur as APC member with the EM IAS after issue resolution.
- 4.4.5 Review and approve as an APC member changes to Tier 2 assessment performance dates proposed by RMs..
- 4.4.6 Ensure that assessments for their area of responsibility, including self assessments, are scheduled, conducted and recorded per requirements of this procedure and other applicable EM procedures.
- 4.4.7 Review trending data reports and other information sources to guide development of their organizational assessment plan and/or assist in their responsibility as an APC member.
- 4.4.8 Maintain their individual organization's assessment schedule by gaining approval if required and documenting changes to that plan; e.g., addition or modification of assessments and provide that information to the APC.

5.0 PROCEDURE

The following sections provide direction to all personnel who participate in the development of the EM IAS.

5.1 The EM Assessment Program Committee (APC)

The APC is the EM organizational entity responsible for the development and maintenance of the EM IAS.

5.1.1 Composition of APC

- 5.1.1.1 The APC shall be composed of the Portfolio Federal Project Directors (PFPDs), the Division Directors (DDs), and other RMs as identified by the MOEM.
- 5.1.1.2 The MOEM shall appoint an Assessment Program Manager who shall coordinate and lead the meetings of the APC and provide administrative support for the committee.

5.1.2 Meetings

- 5.1.2.1 Meetings should be scheduled by the APM on an as needed basis but should consist as a minimum of (1) a meeting prior to the Fiscal Year (FY) start to discuss and concur on the IAS for submittal to the MOEM for approval for the next three year

cycle [annual update meeting], (2) periodic meetings; e.g., quarterly, during the FY to evaluate performance against the IAS, review/approve additions-modifications to the IAS as necessary, and develop lessons learned in preparation for development of the next update to the IAS.

5.1.2.2 APC members should attend or designate an alternate to attend APC meetings.

5.1.2.3 Other attendees may be invited by the APC as needed to contribute; e.g., presentations of trend reports.

5.2 Development and Approval of the EM Integrated Assessment Schedule

The EM IAS is comprised of environment, safety, health, quality, and project management assessments of EM projects, programs, or activities. The IAS is developed, approved, and maintained through the process described in this procedure.

5.2.1 The APM shall distribute to RMs trend reports, e-Pegasus data, and other materials (schedule formats, etc.) to be used as aids to develop an assessment schedule for their area of responsibility by September 1.

5.2.2 RMs Assessment Plans - Each RM should use the provided information and other information and resources as needed to develop an assessment plan for their respective areas of responsibility; i.e., their facility, project, or functional area.

This additional information may include:

- Regulatory/directive drivers
- Hazards and risks
- Operational awareness data
- Issue trend analysis
- Consequences of activities
- Performance history of the activity/program
- Previous assessment history
- Need for effectiveness reviews of corrective actions from previous oversight activities
- Headquarters direction
- Known external reviews (Office of Health, Safety, and Security [HSS], EM headquarter reviews, etc.)
- Contractor assessment program data.

Note: Support functional area RMs; i.e., Engineering, Facility Operations, and other Division Directors should, in addition to programmatic assessments in their area of responsibility, coordinate with appropriate project management RMs to identify assessments needed to support line projects. They should cooperatively decide the primary RM for the assessment. Assessments that cross project lines should be the responsibility of the Functional RM.

Note: For assessments of functional areas supported by non-EM SMEs, e.g., radiation protection, fire protection, etc., the RM serving as interface manager for that support

shall coordinate the identification of such assessments and include those assessments on their assessment plan.

5.2.2.1 The RM assessment plans shall be composed of three tiers of assessments.

- **Tier 1** – Those assessments critical to OR EM mission achievement or customer expectations. Factors that should be considered include the timeliness of mission achievement and compliance with a law, regulation, or DOE order. Examples would be readiness reviews for the start-up/restart of significant projects, ISMS verification reviews, DOE Headquarter directed reviews. This tier of assessments requires MOEM approval for cancellation or change to completion performance date.
- **Tier 2** – Those assessments needed to satisfy customer expectations or achieve compliance with a law, regulation, or DOE order but are of lower visibility or not as critical as Tier 1 assessments. This tier would contain assessments based upon requirements with a specific periodicity; e.g. triennial assessments of emergency management/fire protection programs. This tier may also contain readiness reviews of lower priority projects where timing is not project critical, assessments planned in response to adverse events (for cause reviews) or performance trends noted, or program reviews required on a non-specified periodic basis. Cancellation must be approved by the MOEM. Changes to the planned completion date can be approved by the Deputy EM Manager.
- **Tier 3** – Those assessments based upon general requirements; e.g., DOE Order 226.1, to perform oversight of contractor or DOE programs or functions at an un-specified periodicity such as program assessments or to develop leading indicators of performance quality. These assessments may be either formal or informal assessments; i.e., surveillances as defined in EM procedure EM-3.3, *Integrated Assessment Program*. The RM has the authority to modify or cancel Tier 3 assessments with notification to the APM.

5.2.2.2 The RM assessment plans should be a rolling three year FY schedule for Tier 1 and 2 assessments.. The first year of the Tier 1 and 2 portion of the assessment plan shall be the most detailed while succeeding years should identify assessments known to be required at a certain periodicity or due to a high visibility occurrence; e.g. required annual reviews, start-up of a new nuclear activity, etc. The Tier 3 portion of the IAS needs only to be developed on an annual basis.

5.2.2.3 RMs should forward their completed assessment plans to the APM by September 1. RM shall provide their assessment plan in the format provided by the APM. Included as a minimum will be:

- Title/Subject of the assessment which should identify general scope/purpose of review and program/project/operation assessed.
- RM for the assessment.
- The proposed tier level of the assessment.
- The proposed start and ending date of the assessment.

U.S. Department of Energy Oak Ridge Office of Environmental Management	Procedure No. EM 3.6 Revision 0 Assessment Program Committee and the EM Integrated Assessment Schedule Effective Date: <u>May 14, 2012</u> Page 9 of 11
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Note: These dates should be selected based upon best estimate with the information available at the time. The ending date should allow for an appropriate period of time to plan, complete both field work and report writing.

5.2.3 Review and Approval of the EM Integrated Assessment Schedule

- 5.2.3.1 The APM shall evaluate the individual RM assessment plans submitted against requirements and resolve any issues with the RMs on suspected deviations from requirements.
- 5.2.3.2 The APM shall compile the RM assessment plans into an integrated proposed EM IAS and provide that proposed integrated schedule to the APC members by September 8 for their review prior to the annual IAS update meeting.
- 5.2.3.3 The APM shall arrange and lead the annual APC IAS update meeting by September 15 for APC consideration of the proposed EM IAS. The APC will complete review, discuss, and modify if needed the proposed update to the IAS.
- 5.2.3.4 The APC shall concur on a proposed IAS with agreed to modifications for presentation to the MOEM for approval. Any individual exceptions to the proposed IAS may be noted.
- 5.2.3.5 The MOEM shall either approve the proposed IAS, return it to the APC for further action, or approve it with changes. The goal is to have an approved updated IAS by October 1.
- 5.2.3.6 The APM shall enter the formal approval of the IAS into the OR EM record management system.

5.2.4 Documentation and Dissemination of the Initial Approved EM IAS

- 5.2.4.1 The APM shall coordinate with the RMs loading the approved Tier 1 and 2 assessments into the e-Pegasus database.
- 5.2.4.2 Each RM shall individually document the approved Tier 3 assessments for which they are responsible. The e-Pegasus system may be used for this purpose but other formal methods are allowed; e.g., memo correspondence. However e-Pegasus must be used to manage the record of the performance of Tier 3 assessments upon their completion.
- 5.2.4.3 The APM will coordinate the preparation of correspondence under appropriate signature to EM contractors of the set of assessments on the approved IAS applicable to each particular contractor.
- 5.2.4.4 The APM will coordinate the preparation of correspondence under MOEM signature to submit the approved IAS to EM Headquarters for information purposes.

5.3 **Maintenance of the EM Integrated Assessment Schedule**

The EM IAS is executed and maintained through the actions of the RMs responsible for the assessments and the APC. The ability to modify the IAS allows EM to address changing assessment needs and resources of the EM program while ensuring a balanced assessment program is maintained.

RMs can (1) execute the IAS assessments as planned, (2) identify a need to change a planned assessment; i.e., date change, scope adjustment, cancellation, (3) identify a need to add additional

U.S. Department of Energy Oak Ridge Office of Environmental Management	Procedure No. EM 3.6 Revision 0 Assessment Program Committee and the EM Integrated Assessment Schedule Effective Date: <u>May 14, 2012</u> Page 10 of 11
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assessments to the IAS.

5.3.1 For IAS assessments completed as planned, the RM should ensure that documentation of the assessment is complete and recorded in e-Pegasus per requirements of EM procedure EM-3.3, *Integrated Assessment Program* and e-Pegasus use instructions/training. If the assessment completion is delayed but not longer than two weeks from the planned finish date, the assessment is documented in e-Pegasus and an e-mail notification of the delay submitted to the APM. but no further action is required.

5.3.2 Changes to IAS.

5.3.2.1 Cancellation/Modification of IAS Assessments.

5.3.2.1.a. Tier 1 Assessments – Cancellation of the assessment or change to the planned finish date are not allowed without approval of the MOEM. The RM, if the need for such action is anticipated, shall e-mail the specific request to the APM.

The APM shall submit the request for change to the MOEM, who shall approve or disapprove the request. The MOEM action shall be provided to the RM who shall make any approved changes to the e-Pegasus record with MOEM approval noted. Any changes shall also be reported in next APC meeting.

5.3.2.1.b Tier 2 Assessments - Cancellations are not allowed without approval of the MOEM. See actions required in 5.3.2.1.a.

Change to the planned finish date requires the approval of the Deputy MOEM. If a change is needed, the RM shall e-mail the specific request to the APM.. The APM shall submit the request for change to the Deputy MOEM, who shall approve or disapprove the request. The Deputy MOEM action shall be provided to the RM who shall make any approved changes to the e-Pegasus record with Deputy MOEM approval noted. Any changes shall also be reported in next APC meeting.

5.3.2.1.c. Tier 3 Assessments – RM may cancel or change dates or scopes of Tier 3 assessments at their discretion. Such actions should be reported to the APM on a no less frequent than quarterly basis.

5.3.2.2 Addition of Assessments to the IAS.

Ongoing EM contractor oversight or self assessment may indicate a need to add an assessment of a contractor or DOE EM program/activity prior to an annual IAS update. Such assessments may include response to trend analysis, for cause reviews, externally mandated reviews, accident investigation, etc. The RM shall:

5.3.2.2.a. for Tier 1 or 2 assessments, notify the APM of the intent to add the review including key information on why the assessment is proposed. The APM shall coordinate approval by the MOEM. The RM is responsible for contractor notification via appropriate methods and shall enter the assessment into e-Pegasus and perform and document as planned. The APM should include the new assessment in the list of changes to be presented at the next APC meeting.

5.3.2.2.b. The RM should notify the APM of addition of Tier 3 assessments. No approval required. The RM is responsible for contractor notification via

U.S. Department of Energy Oak Ridge Office of Environmental Management	Procedure No. EM 3.6 Revision 0 Assessment Program Committee and the EM Integrated Assessment Schedule Effective Date: <u>May 14, 2012</u> Page 11 of 11
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appropriate methods and the update of their Tier 3 assessment schedule.

5.4 Monitoring of the IAS

The APC shall have periodic meetings as needed to monitor the status of the IAS and discuss improvements to the EM assessment program. The periodicity shall be established by the APC. Special meetings may also be called by the MOEM.

Information to be presented at the meetings includes:

1. EM performance against the IAS which should include both for the period and cumulatively for the FY:
 - IAS assessments completed per schedule (number and percentage)
 - IAS assessments completed late (number and percentage)
 - Number of assessments currently late.
2. Approved changes to IAS for the period and cumulative for the FY.
 - Modifications
 - Cancellations
 - Additions
3. Significant findings/results from assessments performed during the period that might impact the EM assessment program.
4. Upcoming assessments.

6.0 RECORDS

6.1 Program Records

- 6.1.1 Records generated as a result of implementation of this procedure include, but are not limited to:
 1. EM Integrated Assessment Schedule.
 2. Letters to contractors transmitting planned assessments applicable to contractor.
 3. Electronic records contained in e-Pegasus.
 4. E-mails documenting APC actions.
- 6.1.2 Records shall be maintained in accordance with established DOE records management directives.